

PPNO: _____

EA: _____

(Brief Project Desc.)

**FUNDING ALLOCATION
CHECKLIST
Local Highway Projects**

This checklist is to be completed by the local agency and attached to the Request for Funding Allocation. (Not required for PPM and Rideshare Projects. See Allocation Procedures for Rail/Transit projects for description of Fund Allocation Package requirements.)

Type of Project

- | | |
|--|---|
| <input type="checkbox"/> New Highway Facility | <input type="checkbox"/> Storm Damage Repair |
| <input type="checkbox"/> Widen Existing Facility | <input type="checkbox"/> Local Road Rehabilitation |
| <input type="checkbox"/> Pedestrian and bicycle facilities | <input type="checkbox"/> Reconstruction (See Section III.A.3 of Procedures for definition) (describe) _____ |
| <input type="checkbox"/> Soundwalls | <input type="checkbox"/> Transportation system management |
| <input type="checkbox"/> Grade separation | <input type="checkbox"/> Safety |
| <input type="checkbox"/> Intermodal facilities | |
| <input type="checkbox"/> Other (describe) _____ | |

Fund Allocation Summary

1998 STIP (as amended) Regional Improvement Program			Fund Allocation		
Project Component	Amount	Fiscal Year	Previous	This Request	Total
Environmental Studies & Permits	\$ _____	____/____	\$ _____	\$ _____	\$ _____
Plans, Specifications & Estimate	\$ _____	____/____	\$ _____	\$ _____	\$ _____
Right of Way	\$ _____	____/____	\$ _____	\$ _____	\$ _____
Construction	\$ _____	____/____	\$ _____	\$ _____	\$ _____
Total	\$ _____		\$ _____	\$ _____	\$ _____

HIGHWAY FUNCTIONAL CLASSIFICATION

(Check appropriate box)

Eligible for Federal-aid

- | | |
|---|---|
| <input type="checkbox"/> Urban Principal Arterial | <input type="checkbox"/> Rural Principal Arterial |
| <input type="checkbox"/> Urban Minor Arterial | <input type="checkbox"/> Rural Minor Arterial |
| <input type="checkbox"/> Urban Collector | <input type="checkbox"/> Rural Major Collector |

Ineligible for Federal-aid

- | | |
|--------------------------------------|--|
| <input type="checkbox"/> Urban Local | <input type="checkbox"/> Rural Minor Collector |
| | <input type="checkbox"/> Rural Local |

STATE-ONLY FUNDING APPROVAL

1. Indicate type of funding

- ☐ Federal/State (Skip to question No. 5)
- ☐ State-only

2. Is the State-only funding approved?

- ☐ Yes
- ☐ No

If yes, indicate the type of approval and then skip to question No. 5

- ☐ Project included in the *Final State Only Inventory as of 11/30/98* (Attach. 1 of December 1, 1998 State-only Funding Memorandum. (Indicate title of list)
 - ☐ 1998 STIP Projects Flagged for State-Only
 - ☐ Grandfathered Projects – '96 STIP
 - ☐ Projects Granted SOF (as of 10/15/98)
- ☐ Capital project under \$750,000 (total amount programmed for all components in the STIP)
- ☐ State funds used to match Federal funds
- ☐ Granted State-only funding exception by Caltrans after the 10/15/98 list (attached copy of approval)

3. Is this a storm damage repair or local road rehabilitation project equal to or greater than \$750,000 identified in the 1998 STIP Augmentation?

- ☐ Yes
- ☐ No

In accordance with Commission policy, State-only funding will be provided for all rehabilitation projects identified in the STIP Augmentation, regardless of cost. However, this is not a commitment that State-only funding will be available at the time of allocation. If the answer to this question is "Yes", attach specific reasons why Federal funds should not be used on the project at this time. See "State-only Funding" (December 1, 1998 Memorandum) for evaluation criteria Caltrans will consider before approving this request.

4. If the answers to questions 2 and 3 are both "No", complete the Checklist and submit the "Request for Funds/Exception to Project Funding Policy" form described in "State-only Funding" (December 1, 1998 Memorandum), for approval by the Commission. (Regional Transportation Planning Agency concurrence required.)

LOCAL ROAD REHABILITATION PROJECTS

5. Has the Regional Transportation Planning Agency (RTPA) certified that the project meets the standard for rehabilitation?

- ☐ Yes
- ☐ No

If "Yes", attach copy of Local Road Rehabilitation Project Certification and skip to next section.

If "No", this Request for Funding Allocation will not be processed until the Certification is provided.

STORM DAMAGE REPAIR

6. Type of work (i.e., debris removal, repair, restore, or reconstruct pavement, or other surface courses, shoulders, embankments, cut slopes, roadside development, stream channels, rock slope protection, cribbing, bridges, retaining walls culverts etc.) _____

7. Is the project to repair storm damage identified in an inventory submitted to the Commission?

- ☐ Yes
- ☐ No

If "No", the work is not eligible as a reimbursable STIP cost

8. Was the damage caused by the 1997/98 storm (as documented in a PSR equivalent signed by a professional engineer)?
- ☐ Yes
 - ☐ No
- If "No", the work is not eligible as a reimbursable storm damage project.
9. Is this damage eligible for reimbursement with Federal Emergency Relief (ER) funds or Federal Emergency Management Administration (FEMA) funds? Note: See Chapter 11, "Disaster Assistance" of the *Local Assistance Program Guidelines* for description of eligible work.
- ☐ Yes
 - ☐ No
- If "Yes", the work is not eligible as a reimbursable storm damage project.
- If "No", indicate reason.
- ☐ Not in an area declared a disaster. (by Presidential or Gubernatorial proclamation)
 - ☐ Other. Attach copy of Damage Assessment Form (submitted to Caltrans for projects on highways eligible for Federal aid) or Damage Survey Form (submitted to the California State Office of Emergency Services for projects on highways ineligible for Federal aid). If storm damage was not submitted to either Caltrans or OES, explain why not and attach PSR equivalent that describes the work.

DELEGATED ALLOCATION AUTHORITY BY CALTRANS

10. Is this Request for STIP Funding Allocation eligible for approval by Caltrans?
- ☐ Yes
 - ☐ No

If "Yes", indicate type of eligibility

- ☐ Storm damage repair or local road rehabilitation project identified in the 1998 STIP Augmentation
- ☐ Project development component <\$750,000

Note: For local road rehabilitation projects identified in the 1998 STIP Augmentation, the RTPA must certify project is in compliance with Commission guidelines prior to Caltrans processing of requests for funding allocations. Attach copy of Certification.

11. Has the project description or scope changed from the Project Nomination Sheet?
- ☐ Yes
 - ☐ No
12. Will this request cause the Total Allocation to exceed the amount programmed for any component?
- ☐ Yes
 - ☐ No
13. Will this request require a funding advance?
- ☐ Yes
 - ☐ No

If the answer to question 11, 12, or 13 is "Yes", the "Request for STIP Funding Allocation" must be approved by the California Transportation Commission, regardless of the type of project, and include written concurrence from the Regional Transportation Planning Agency. (Note: A Commission Resolution allows Caltrans to advance Storm Damage and Rehabilitation projects one Fiscal Year.)

ENVIRONMENTAL CLEARANCE REQUIREMENTS

14. Is this request limited to funding for the Environmental Studies component?

- ☐ Yes
☐ No

If "No", a completed CEQA Environmental Document is required.

15. Is this request for a project with any Federal funds (STIP or non-STIP)?

- ☐ Yes
☐ No

If "No", skip question 16, a NEPA Environmental Document is not required.

16. Is this request for Right of Way or Construction funding?

- ☐ Yes
☐ No

If "Yes", a completed NEPA Environmental Document is required.

CONSULTANT CONTRACT PREAWARD AUDIT REQUIREMENTS

17. Will consultants perform any portion of the work on the requested component?

- ☐ Yes
☐ No

If "Yes", answer the following questions?

Any contracts >\$75,000?

- ☐ Yes
☐ No

If "No", Preaward audit not required, skip to question #11.

18. Status of the audit

- ☐ Completed (attach "Audit Disposition" letter)
☐ To be completed by Caltrans ("Preaward Audit Request Letter" must be sent to DLAE).
☐ To be completed by local agency or hired Certified Public Accountant at a later date. Submit "Audit Disposition" letter to the DLAE prior to entering into a contract with the consultant(s).

ESTIMATED TIMELY USE OF FUNDS DEADLINES

19. Requested Funding Allocation Approval date _____

20. Is this request for Project Development costs (Environmental Studies or PS&E)?

- ☐ Yes
☐ No

If "Yes", complete the following:

Estimated expenditure deadline for this project development allocation: _____

(Enter June 30th of the end of the second fiscal year after the requested approval date.) **Expenditures after this date will not be reimbursed and no adjustment will be made to the county share balance for the under-expenditure unless the Commission extends the deadline.**

21. Is this request for Right of way costs?

☐ Yes

☐ No

If "Yes", complete the following:

Estimated expenditure deadline for this right of way allocation: _____

(Enter June 30th of the end of the second fiscal year after the requested approval date.) **Expenditures after this date will not be reimbursed and no adjustment will be made to the county share balance for the under-expenditure unless the Commission extends the deadline.**

22. Is this request for Construction costs?

☐ Yes

☐ No

If "Yes", complete the following:

Estimated award deadline for this allocation: ____ (date) _____

(Enter the date that is 12 months after the date of the requested approval date.) **If the project is not awarded by this date, the funding will be rescinded with no adjustment to county shares unless the Commission extends the deadline.**

Based on the requested funding approval date shown above, we estimate that we will award a contract for this project on _____ (enter date) and complete the contract on _____ (enter date).

Estimated expenditure deadline for this construction allocation _____ (Enter the date that is 36 months after the estimated award date shown above.) **If it is estimated the contract will not be completed and accepted by this date, attach justification for the extra time required to complete the contract.**

REGIONAL TRANSPORTATION PLANNING AGENCY CONCURRENCE

23. Will this request require approval of an exception to the project funding policy described in the December 1, 1998 "State-only Funding" memo? (Question 2)

☐ Yes

☐ No

24. Will this request change the project description, scope, exceed the amount programmed, or require an advance? (Questions 4, 5 and 6)

25. Has the Regional Transportation Planning Agency passed a resolution requiring their concurrence on all requests for STIP funding allocations?

☐ Yes

☐ No

If the answer to question 23, 24, or 25 is "Yes", the RTPA must sign the "Request for Funding Allocation" form.

Prepared by _____ Date _____ Phone No. _____